

PTO/SB/21 (01-03)

Approved for use through 04/30/2003. OMB 0651-0031

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number **09 / 991,036**Filing Date **20-Nov-2001**First Named Inventor **Richard A. Falk**Art Unit **2622**Examiner Name **MADELEINE A. V. NGUYEN**

Total Number of Pages in This Submission

**18**Attorney Docket Number **EFIM0289****ENCLOSURES (Check all that apply)**☐ Fee Transmittal Form☐ Fee Attached☐ Amendment/Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☒ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Response to Missing Parts/Incomplete Application☐ Response to Missing Parts under 37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a Provisional Application☐ Power of Attorney, Revocation☐ Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ After Allowance Communication to Group☐ Appeal Communication to Board of Appeals and Interferences☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please identify below):

1. PTO Form-1449 (2 copies)

2. Cited References

3. Return Postcard

Remarks

**RECEIVED****APR 18 2003****Technology Center 2600****SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual**James Trosino**

Signature

*James Trosino*

Date

**11-Apr-2003****CERTIFICATE OF TRANSMISSION/MAILING**I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: **11-Apr-2003**

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**James Trosino**

Signature

*James Trosino*

Date

**11-Apr-2003**

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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Attorney Docket Number EFIM0289

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Richard A. Falk  
Serial No. : 09/991,036  
Filed : 20-Nov-2001  
For : SPOT COLOR PATTERN SYSTEM  
Group Art Unit : 2622  
Examiner : MADELEINE A. V. NGUYEN

**INFORMATION DISCLOSURE STATEMENT**

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Hon. Assistant Commissioner for Patents  
Washington, DC 20231

APR 18 2003

Technology Center 2600

Sir:

Applicant submits this Information Disclosure Statement:

☒ under 37 CFR 1.97(b) (within three months of the filing date of a national application; within three months of the date of entry of the national stage in an international application; before the mailing of a first Office action on the merits; or before the mailing of a first Office action after the filing of a request for continued examination, whichever occurs last); or

☐ under 37 CFR 1.97(c) (after the CFR 1.97(b) time period, but before the mailing date of any of a final action, a notice of allowance, or an action that otherwise closes prosecution in the application) together with:

☐ the statement specified in 37 CFR §1.97(e); or

☐ the fee set forth in 37 CFR §1.17(p); or

☐ under 37 CFR 1.97(d) (after the CFR 1.97(c) time period, but before payment of the issue fee) together with:

☐ the statement specified in 37 CFR §1.97(e); and

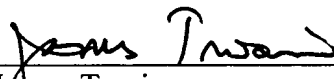
☐ the fee set forth in 37 CFR §1.17(p).

Applicant submits herewith PTO Form 1449 together with copies of patents, publications, applications, or other information listed therein. Applicant submits herewith a concise explanation of any patent, publication or other information listed in PTO Form 1449 that is not in the English language.

All of the references have been previously cited in parent application Serial No. \_\_\_\_\_. Accordingly, Applicant has not provided copies of these references as they are readily found in the file of the parent application.

Applicant respectfully requests that the information disclosed herein be made of record in this application.

Respectfully submitted,

  
\_\_\_\_\_  
James Trosino  
Registration No. 39,862  
Attorney for Applicant

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San Francisco, CA 94104  
Tel.: (650) 357-3997



PTO/SB/08A (10-01)

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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b>			
		Application Number	09 / 991,036		
		Filing Date	20-Nov-2001		
		First Named Inventor	Richard A. Falk		
		Art Unit	2622		
		Examiner Name	MADELEINE A. V. NGUYEN		
Sheet	1	of	1	Attorney Docket Number	EFIM0289

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. 1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US- 6,252,676	06-26-2001	Azima et al.	
		US-			
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. 1	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
		WO 97/42603	11-13-1997	Earl et al.		

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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